



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 024051/0146

Applicant: Gary Allan KEMP II et al.
Title: CLICK BASED TRADING WITH INTUITIVE GRID DISPLAY OF
MARKET DEPTH AND PRICE CONSOLIDATION
Serial No.: 09/971,087
Filed: October 5, 2001
Examiner: R. Weisberger
Art Unit: 3624

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**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits.

Some of the listed documents were originally cited to the U.S.P.T.O. in a Petition to Make Special filed on November 13, 2001. They are being re-listed here in an abundance of caution to ensure that they are carefully considered and made of record in the prosecution history so that they will appear on the face of the patent that issues from this application.

Applicant respectfully requests that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

NOVEMBER 14, 2002

Date



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Should additional fees be necessary in connection with the filing of this paper, or if a petition for extension of time is required for timely acceptance of same, the Commissioner is hereby authorized to charge Deposit Account No. 19-0741 for any such fees; and applicant(s) hereby petition for any needed extension of time.